

|   |                                |                           |
|---|--------------------------------|---------------------------|
| Form PTO-1449 (Modified)<br><br><b>LIST OF PATENTS AND PUBLICATIONS<br/>FOR APPLICANT'S<br/>INFORMATION DISCLOSURE STATEMENT</b><br>(Use several sheets if necessary) | Atty Docket No.:<br>MS171134.1 | Serial No.:<br>09/894,392 |
|   | Applicant: Eric Horvitz        |                           |
|   | Filing Date:<br>June 28, 2001  | Group: 2171               |

**REFERENCE DESIGNATION U.S. PATENT DOCUMENTS**

| Examiner Initial |    | Document Number | Date | Name | Class | Subclass | Filing Date if Appropriate |
|------------------|----|-----------------|------|------|-------|----------|----------------------------|
|                  | AA |                 |      |      |       |          |                            |
|                  | AB |                 |      |      |       |          |                            |
|                  | AC |                 |      |      |       |          |                            |
|                  | AD |                 |      |      |       |          |                            |
|                  | AE |                 |      |      |       |          |                            |
|                  | AF |                 |      |      |       |          |                            |

**FOREIGN PATENT DOCUMENTS**

| Examiner Initial |    | Document Number | Date | Country | Class | Subclass | Translation |    |
|------------------|----|-----------------|------|---------|-------|----------|-------------|----|
|                  |    |                 |      |         |       |          | Yes         | No |
|                  | AG |                 |      |         |       |          |             |    |

**OTHER ART(Including Author, Title, Date, Pertinent Pages, etc.)**

|    |    |  |   |
|----|----|--|---|
| BG | AH |  | Cox, Richard J., "Researching Archival Reference as an Information Function: Observations on Needs and Opportunities", <u>American Library Association</u> , vol. 31, no. 3, March 22, 1992, p. 387-397 |
|    | AI |  |   |
|    | AJ |  |   |

|                               |                                  |
|-------------------------------|----------------------------------|
| EXAMINER <i>Brian Gaddard</i> | DATE CONSIDERED <i>9/22/2003</i> |
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EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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Substitute for form 1449/PTO

## SUPPLEMENTAL INFORMATION DISCLOSURE

### STATEMENT BY APPLICANT

*(Use as many sheets as necessary)*

|       |   |    |   |
|-------|---|----|---|
| Sheet | 1 | of | 2 |
|-------|---|----|---|

**Complete if Known**

|                        |                       |
|------------------------|-----------------------|
| Application Number     | 09/89,392             |
| Filing Date            | June 28, 2001         |
| First Named Inventor   | Eric Horvitz          |
| Art Unit               | 2171                  |
| Examiner Name          | Unknown               |
| Attorney Docket Number | MS171134.1/MSFTP214US |

## U. S. PATENT DOCUMENTS

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## FOREIGN PATENT DOCUMENTS

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| Substitute for form 100-BPTO<br><b>PATENT &amp; TRADEMARK</b><br>SUPPLEMENTAL INFORMATION DISCLOSURE<br>STATEMENT BY APPLICANT<br>(Use as many sheets as necessary) |  |    |  | <b>Complete if Known</b>      |                       |
|   |  |    |  | <b>Application Number</b>     | 09/894,392            |
|   |  |    |  | <b>Filing Date</b>            | June 28, 2001         |
|   |  |    |  | <b>First Named Inventor</b>   | Eric Horvitz          |
|   |  |    |  | <b>Art Unit</b>               | 2171                  |
|   |  |    |  | <b>Examiner Name</b>          | Unknown               |
| Sheet   |  | of |  | <b>Attorney Docket Number</b> | MS171134.1/MSFTP214US |

| <b>NON PATENT LITERATURE DOCUMENTS</b> |                                 |  |                      |
|--|---------------------------------|--|----------------------|
| <b>Examiner<br/>Initials*</b>          | <b>Cite<br/>No.<sup>1</sup></b> | <b>Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.</b> | <b>T<sup>2</sup></b> |
| BG                                     |                                 | K. POH, M. FEHLING, and E. HORVITZ. Dynamic Constructino and Refinement of Utility-based Categorization Models. IEEE Trans. Sys. Man Cyb., 24(11), 1994. 33 pages.   |                      |
| BG                                     |                                 | E. HORVITZ and A. KLEIN. Utility-based Abstraction and Categorization. Proceedings of the 9th Conference on Uncertainty in Artificial Intelligence, Washington, DC, July 1993. Morgan Kaufmann: San Francisco. pp. 128-135.  |                      |
| BG                                     |                                 | STEPHEN POLLOCK. A Rule-based Message Filtering System. ACM Transactions on Information Systems, Vol. 6 Issue 3, pp.232-254, 1988.   |                      |
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| Examiner<br>Signature | <i>Brian Gold</i> | Date<br>Considered | 9/22/2003 |
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